



# UNITED STATES PATENT AND TRADEMARK OFFICE

*DFW*

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

10/622,992

07/18/2003

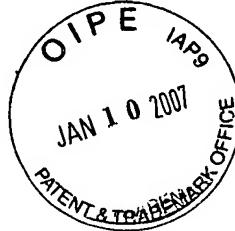
Ajay Sarkar

3053

7590

12/11/2006

Ajay Sarkar  
10939 Caminito Alvarez  
San Diego, CA 92126



EXAMINER

DINH, KHANH Q

ART UNIT

PAPER NUMBER

2151

DATE MAILED: 12/11/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	10/622,992	SARKAR, AJAY	
	<b>Examiner</b>	<b>Art Unit</b>	
	Khanh Dinh	2151	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 18 July 2003.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-39 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-39 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____                                      |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>3/17/05</u>   | 6) <input type="checkbox"/> Other: _____                          |

### DETAILED ACTION

1. Claims 1-39 are presented for examination.

#### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 1-39 are rejected under 35 U.S.C. 102(e) as being anticipated by Fletcher et al. (hereafter Fletcher), US pub. No.2003/0135628 A1.

As to claim 1, Fletcher discloses an arrangement for web services management or integration, comprising:

a transaction adapter module for receiving client requests (using service requester 1 fig.1) in a client-specific protocol and having one or more transaction adapters, each of said transaction adapters for translating at least a portion of said client request to a predetermined protocol; and a query adapter module (1 fig.1) for communication with a set of query services and having one or more query adapters, each of said query adapters for translating at least a portion of said client request from said predetermined protocol to a service-specific protocol; wherein said transaction adapter module and said query adapter module are modularly interfaceable with a

Art Unit: 2151

service broker (3 fig.1) adapted to direct queries to said query services (service requester can search for a particular service requested from a user, see fig.1, [0008] to [009] and [0039]), and wherein said predetermined protocol allows said transaction adapter module, said query adapter module and said service broker to be decoupled, thereby allowing dynamic loading of adapters to at least one of said transaction adapter module and said query adapter module (see figs. 3A, 3B, abstract, [0044] to [0049]).

As to claim 2, Fletcher discloses wherein said transaction adapter module is adapted to isolate a query within said client request (see [0052] to [0056]).

As to claim 3, Fletcher discloses wherein a WSDL definition is used to present said isolated query to said service broker (see [0051] to [0052]).

As to claim 4, Fletcher discloses wherein said predetermined protocol is XML-based (see [0072]).

As to claim 5, Fletcher discloses wherein said predetermined protocol is SOAP (see [0078] to [0079]).

As to claims 6-8, Fletcher discloses wherein said transaction adapter module is adapted to apply a set of policies to said client requests, said set of policies is predetermined

and said set of policies is dynamically configurable (see [0062] to [0065] and [0072] to [0074]).

As to claims 9-11, Fletcher discloses said set of policies includes client authentication, said set of policies includes security management and said set of policies includes performance management (see [0062] to [0065] and [0072] to [0074]).

As to claims 12-14, Fletcher discloses said set of policies includes fault management, said set of policies includes resource management and said set of policies includes customer management (see [0047] to [0049] and [0072] to [0074]).

As to claims 15-17, Fletcher discloses said query adapter module is adapted to apply a set of policies to said client requests, said set of policies is predetermined and said set of policies is dynamically configurable (see [0062] to [0065] and [0072] to [0074]).

As to claims 18-20, Fletcher discloses said service broker is adapted to apply a set of policies to said client requests, said set of policies is predetermined and said set of policies is dynamically configurable (see fig.5A, [0058] to [0062]).

As to claims 21-23, Fletcher discloses said transaction adapter module and said query adapter module are further modularly interfaceable with other adapter modules, said transaction adapter module comprises: a director module for determining the client-

Art Unit: 2151

specific protocol and directing the message to a corresponding adapter and said transaction adapter module further comprises: a policy module for determining and applying policies corresponding to at least one of a client, a transaction and a service (see [0044] to [0049]).

As to claim 24, Fletcher discloses a graphical user interface for allowing a user to reconfigure at least one of said transaction adapter module and said query adapter module (defining web services to users, see [0047] to [0051] and [0061]).

As to claim 25, Fletcher discloses a web services arrangement, comprising: a transaction adapter module for receiving client requests (using service requester 1 fig.1) and having one or more transaction adapters; and a query adapter module for communication with a set of query services and having one or more query adapters; and a service broker (3 fig.1) adapted to receive queries from said transaction adapter module and to access service resources at least partly through said query adapter module (service requester can search for a particular service requested from a user, see fig.1, [0008] to [009] and [0039]), wherein said service broker includes a mapping of each service to one or more operational nodes corresponding to one or more operations required to perform said service (see figs. 3A, 3B, abstract, [0044] to [0049]).

As to claims 26-28, Fletcher discloses at least one node corresponds to another service, a graphical user interface adapted to allow a user to reconfigure said mapping

Art Unit: 2151

and said graphical user interface is further adapted to allow a user to reconfigure policies (see [0062] to [0065] and [0072] to [0074]).

As to claim 29, Fletcher discloses said policies includes client authentication (checking user profiles, see fig.5A, [0060] to [0061]).

As to claims 30-32, Fletcher discloses said policies includes security management, said policies includes performance management and said policies includes fault management (see [0062] to [0065] and [0072] to [0074]).

As to claims 33-35, Fletcher discloses said policies includes resource management, said policies includes customer management and said mapping is optimized for minimum cost (see [0062] to [0065] and [0072] to [0074]).

As to claims 36 and 37, Fletcher discloses said mapping is optimized using embedded logic and said mapping is optimized using artificial intelligence (see [0062] to [0065] and [0072] to [0074]).

As to claims 38 and 39, Fletcher discloses said mapping is optimized using a rules-based engine and a graphical user interface adapted to allow a user to reconfigure business process flow management (see [0062] to [0065] and [0072] to [0074]).

Art Unit: 2151

***Other prior art cited***

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

a. Suryanarayaana, US pub. No.2003/0112791 A1.

b. Anderson et al, US pub. No.20060206440.

***Conclusion***

5. Claims 1-39 are rejected.

6. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Khanh Dinh whose telephone number is (571) 272-3936. The examiner can normally be reached on Monday through Friday from 8:00 A.m. to 5:00 P.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Zarni Maung, can be reached on (571) 272-3939. The fax phone number for this group is (571) 273-8300.

*A shortened statutory period for reply is set to expire THREE months from the mailing date of this communication. Failure to response within the period for response will cause the application to become abandoned (35 U. S. C . Sect. 133). Extensions of time may be obtained under the provisions of 37 CFR 1.136(A).*

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status



Art Unit: 2151

information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

**Any response to this action should be mailed to:**

Commissioner for patents  
P O Box 1450  
Alexandria, VA 22313-1450



KHANH DINH  
PRIMARY EXAMINER  
TECHNOLOGY CENTER 2100

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	10/622,992
		Filing Date	July 18, 2003
		First Named Inventor	Ajay SARKAR
		Group Art Unit	2151
		Examiner Name	K. Dins
		Attorney Docket Number	028108-0202
Sheet	1	of	1

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
ED	A1	6272598		Arlitt et al.	08-07-2001	
WD	A2	6678835		Shah et al.	01-13-2004	
WD	A3	6772225		Jennings et al.	08-03-2004	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
ED	A4	International Search Report for PCT Application No. PCT/US2004/14319	

Examiner Signature	<i>Khari Dins</i>	Date Considered	12/7/06
--------------------	-------------------	-----------------	---------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, PO Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

<b>Notice of References Cited</b>	Application/Control No. 10/622,992	Applicant(s)/Patent Under Reexamination SARKAR, AJAY	
	Examiner Khanh Dinh	Art Unit 2151	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2003/0112791	06-2003	Suryanarayana, Lalitha	370/352
*	B	US-2003/0135628	07-2003	Fletcher et al.	709/229
*	C	US-2005/0240422	10-2005	Doyle et al.	705/001
*	D	US-2005/0114701	05-2005	Atkins et al.	713/201
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

**FOREIGN PATENT DOCUMENTS**

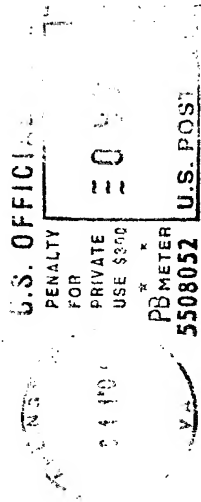
*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

**NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

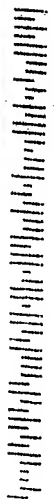
\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

BEST AVAILABLE COPY



AN EQUAL OPPORTUNITY EMPLOYER

OFFICIAL BUSINESS  
PENALTY FOR PRIVATE USE, \$300



P.O. BOX 1450

Alexandria, VA 22303-1450

or Undeliverable Return to Ten Days

